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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Application of :
Manabu OUMI et al. :
Serial No. 09/997,484 : Group Art Unit: 2873
Filed: November 21, 2001 :
For: METHOD OF FABRICATING :
OPTICAL APERTURE AND :
METHOD OF FABRICATING :
PROBE FOR NEAR FIELD :
LIGHT DEVICE : Docket No. S004-4470

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TECHNICAL INFORMATION
DIVISION
U.S. PATENT & TRADEMARK OFFICE
DEC 27 2002
2000
COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT
UNDER PATENT RULES 97 AND 98**

S I R:

Applicants submit this information disclosure statement pursuant to 37 CFR §§1.97 and 1.98.

The present application was filed more than three months prior to the filing of this statement. However, as of the date of filing of this statement, neither a final action under 37 CFR §1.113 nor a notice of allowance under 37 CFR §1.311 has been mailed in this application. Accordingly, this information disclosure statement is being filed under 37 CFR §1.97(c) and is accompanied by the following 37 CFR §1.97(e) certification:

MAILING CERTIFICATE ON
LAST PAGE

Rule 97(e) Certification

Applicants' undersigned attorney, pursuant to 37 CFR §1.97(e), hereby certifies that each item of information disclosed herein was cited in a Search Report of a foreign Patent Office in applicants' counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

Information Disclosure Statement

Pursuant to 37 CFR §1.98, a list of patents, publications or other information submitted for consideration by the PTO is provided on annexed Form PTO-1449. A legible copy of each item of information listed on the Form is submitted herewith. Also submitted is a copy of the Search Report which cited each item of information.

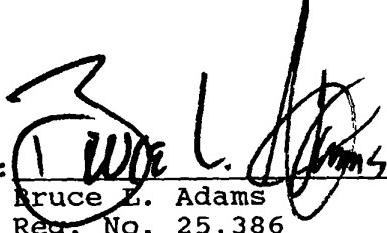
As to each item of information, if any, which is not in the English language, a concise explanation of the relevance thereof pursuant to 37 CFR §1.98(a)(3) is given in the Search Report which cited the information.



Consideration of this information disclosure
statement is respectfully requested.

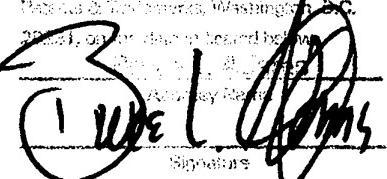
Respectfully submitted,

ADAMS & WILKS
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By: 
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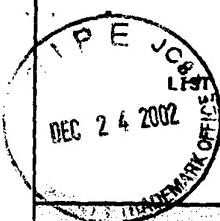
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20591, on the date indicated below.


Bruce E. Adams
Attorney
Signature

December 20, 2002

Date

FORM PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE								ATTY. DOCKET NO. S004-4470	SERIAL NO. 09/997,484			
 LIST OF PRIOR ART CITED BY APPLICANT										APPLICANT Mamabu OUMI et al.				
										FILING DATE November 21, 2001	GROUP 2873			
U.S. PATENT DOCUMENTS														
*		DOCUMENT NO.							DATE	NAME		CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
AA		5	3	3	3	4	9	5	08-02-94	Yamaguchi et al.		73	105	
AB		4	6	8	4	2	0	6	08-04-87	Bednorz et al.		350	96.12	
AC														
AD														
AE														
AF														
AG														
AH														
AI														
AJ														
AK														
FOREIGN PATENT DOCUMENTS														
*		DOCUMENT NO.							DATE	COUNTRY		CLASS	SUBCLASS	TRANSLATION
AL		0	0	2	8	5	3	6	05-18-00	WIPO		--	--	YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>
AM														
AN														
AO														
AP														
AQ														
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)														
	AR													
	AS													
	AT													
EXAMINER:			DATE CONSIDERED:											
* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.														

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Europäisches
Patentamt

Zweigstelle
in Den Haag
Recherchen-
abteilung

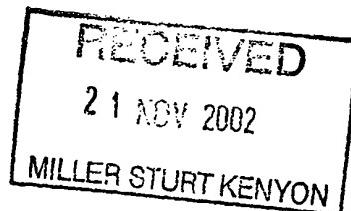
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Département à
La Haye
Division de la
recherche

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Datum/Date
21.11.02

Zeichen/Ref./Réf. EPP14066A	Anmeldung Nr./Application No./Demande n°/Patent Nr. /Patent No./Brevet n°. 01309847.0-1526-
Anmelder/Applicant/Demandeur : SEIKO INSTRUMENTS INC.	

COMMUNICATION

The European Patent Office herewith transmits as an enclosure the European search report for the above-mentioned European patent application.

If applicable, copies of the documents cited in the European search report are attached.

- Additional set(s) of copies of the documents cited in the European search report is (are) enclosed as well.

The following specifications given by the applicant have been approved by the Search Division:

abstract

title

- The abstract was modified by the Search Division and the definitive text is attached to this communication.

The following figure will be published together with the abstract:

1

REFUND OF THE SEARCH FEE

If applicable under Article 10 Rules relating to fees, a separate communication from the Receiving Section on the refund of the search fee will be sent later.





European Patent
Office

EUROPEAN SEARCH REPORT

Application Number

EP 01 30 9847

DOCUMENTS CONSIDERED TO BE RELEVANT			CLASSIFICATION OF THE APPLICATION (Int.Cl.)												
Category	Citation of document with indication, where appropriate, of relevant passages	Relevant to claim													
A	US 5 333 495 A (YAMAGUCHI HIROSHI ET AL) 2 August 1994 (1994-08-02) * column 12, line 26 – line 36; figure 2F *	1,2,23	G12B21/06												
A	US 4 684 206 A (DENK WINFRIED ET AL) 4 August 1987 (1987-08-04)	1,2,23													
D	* column 4, line 40 – line 50; figure 5 * & JP 05 021201 B 23 March 1993 (1993-03-23)														
A	WO 00 28536 A (MITSUOKA YASUYUKI ;CHIBA NORIO (JP); OUMI MANABU (JP); ICHIHARA SU) 18 May 2000 (2000-05-18) * the whole document * & EP 1 061 510 A 20 December 2000 (2000-12-20) * paragraph '0313! *	1,2,23													
			TECHNICAL FIELDS SEARCHED (Int.Cl.)												
			G12B G11B G02B												
<p>The present search report has been drawn up for all claims</p> <p>1</p> <table border="1"> <tr> <td>Place of search</td> <td>Date of completion of the search</td> <td>Examiner</td> </tr> <tr> <td>BERLIN</td> <td>22 October 2002</td> <td>Clevorn, J</td> </tr> <tr> <td colspan="2">CATEGORY OF CITED DOCUMENTS</td> <td>T : theory or principle underlying the invention E : earlier patent document, but published on, or after the filing date D : document cited in the application L : document cited for other reasons & : member of the same patent family, corresponding document</td> </tr> <tr> <td colspan="2"> X : particularly relevant if taken alone Y : particularly relevant if combined with another document of the same category A : technological background O : non-written disclosure P : intermediate document </td> <td></td> </tr> </table>				Place of search	Date of completion of the search	Examiner	BERLIN	22 October 2002	Clevorn, J	CATEGORY OF CITED DOCUMENTS		T : theory or principle underlying the invention E : earlier patent document, but published on, or after the filing date D : document cited in the application L : document cited for other reasons & : member of the same patent family, corresponding document	X : particularly relevant if taken alone Y : particularly relevant if combined with another document of the same category A : technological background O : non-written disclosure P : intermediate document		
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BERLIN	22 October 2002	Clevorn, J													
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X : particularly relevant if taken alone Y : particularly relevant if combined with another document of the same category A : technological background O : non-written disclosure P : intermediate document															

**ANNEX TO THE EUROPEAN SEARCH REPORT
ON EUROPEAN PATENT APPLICATION NO.**

EP 01 30 9847

This annex lists the patent family members relating to the patent documents cited in the above-mentioned European search report. The members are as contained in the European Patent Office EDP file on The European Patent Office is in no way liable for these particulars which are merely given for the purpose of information.

22-10-2002

Patent document cited in search report		Publication date		Patent family member(s)	Publication date
US 5333495	A	02-08-1994		JP 4034824 A JP 3009199 B2 JP 4136743 A DE 69131528 D1 DE 69131528 T2 EP 0459392 A2 US 5214282 A	05-02-1992 14-02-2000 11-05-1992 23-09-1999 04-05-2000 04-12-1991 25-05-1993
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